

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Alok Mani SRIVASTAVA et al.

Title: WHITE LIGHT EMITTING
PHOSPHOR BLENDS FOR LED
DEVICES

Appl. No.: Unassigned

Filing Date: 07/11/2003

Examiner: Unassigned

Art Unit: Unassigned

INFORMATION DISCLOSURE STATEMENT
UNDER 37 CFR §1.56

Mail Stop PATENT APPLICATION
Commissioner for Patents
PO Box 1450
Alexandria, Virginia 22313-1450

Sir:

Applicants submit herewith on Form PTO/SB/08 a listing of the documents cited by or submitted to the U.S. PTO in parent application Serial No. 09/570,932, filed May 15, 2000. As provided in 37 CFR §1.98(d), copies of the documents are not being provided since they were previously submitted to the United States Patent & Trademark Office in the above-identified parent application.

The submission of any document herewith, which is not a statutory bar, is not intended as an admission that such document constitutes prior art against the claims of the present application or that such document is considered material to patentability as defined in 37 CFR §1.56(b). Applicants do not waive any rights to take any action which would be appropriate to antedate or otherwise remove as a competent reference any document which is determined to be a *prima facie* art reference against the claims of the present application.

TIMING OF THE DISCLOSURE

The listed documents are being submitted in compliance with 37 CFR §1.97(b), within three (3) months of the filing date of the application.

RELEVANCE OF EACH DOCUMENT

All of the documents are in English.

Applicants respectfully request that any listed document be considered by the Examiner and be made of record in the present application and that an initialed copy of Form PTO/SB/08 be returned in accordance with MPEP §609.

The Commissioner is hereby authorized to charge any additional fees which may be required regarding this application under 37 CFR §§ 1.16-1.17, or credit any overpayment, to Deposit Account No. 19-0741. Should no proper payment be enclosed herewith, as by a check being in the wrong amount, unsigned, post-dated, otherwise improper or informal or even entirely missing, the Commissioner is authorized to charge the unpaid amount to Deposit Account No. 19-0741.

Respectfully submitted,

Date

7/11/03

By

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Substitute for form 1449B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT Date Submitted: July 11, 2003 <i>(use as many sheets as necessary)</i>				Complete if Known	
				Application Number	Unassigned
				Filing Date	07/11/2003
				First Named Inventor	Alok Mani SRIVASTAVA
				Group Art Unit	Unassigned
				Examiner Name	Unassigned
Sheet	1	of	2	Attorney Docket Number	040849-0242

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
	A1	4,661,419		Nakamura	4/28/87	
	A2	5,198,679		Katoh, et al	3/30/03	
	A3	5,571,451		Srivastava, et al	11/5/96	
	A4	5,813,753		Vriens, et al	9/29/98	
	A5	5,851,063		Doughty, et al	12/22/98	
	A6	5,925,897		Oberman	7/20/99	
	A7	5,966,393		Hide et al	10/12/99	
	A8	5,998,925		Shimizu et al	12/7/99	
	A20	5,847,507		Butterworth, et al	12/8/98	
	A21	6,066,861		Hohn, et al	5/23/00	
	A22	6,069,040		Shimizu, et al	5/30/00	
	A23	6,084,250		Justel, et al	7/4/00	
	A25	6,294,800		Duggel, et al	9/2001	
	A26	6,252,254		Soules, et al	6/2001	
	A27	6,299,338		Levinson, et al	10/2001	
	A28	6,429,583		Levinson, et al	8/2002	

FOREIGN PATENT DOCUMENTS

[illegible]

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ⁶
	A9	Keith Butler: Fluorescent Lamp Phosphors, pages 98-107 (The Pennsylvania State University Press 1980)	Y

Examiner Signature		Date Considered	
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Unique citation designation number. ² See attached Kinds of U.S. Patent Documents. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.

⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

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Substitute for form 1449B/PTO		Complete if Known	
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		Attorney Docket Number	040849-0242
Sheet	2	of	2

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ⁶
	A10	S. Nakamura, et al: The Blue Laser Diode, pages 216-221, 328-329 (Springer 1997)	Y
	A11	G. Glasse et al.: Luminescent Materials, pages 109-110 (Springer-Verlag 1994)	Y
	A12	A.L.N. Stevels et al.: Eu ²⁺ →Mn ²⁺ Energy Transfer In Hexagonal Aluminates, pages 207-218 (Journal of Luminescence 14 (1976))	Y
	A13	S.M.J. Smets et al.: The Luminescence Properties of .: Eu ²⁺ and Mn ²⁺ -Doped Barium Hexaaluminates Pages 1305-1310 (Materials Research Bulletin, Volume 21, Number 11 (1986))	Y
	A14	J.M.P.J. Verstegen: A Survey of a Group of Phosphors, Based on Hexagonal Aluminate and Gallate Host Lattices, pages 1623-1627 (Journal of the Electrochemical Society, Vol. 121, No. 12 (1974))	Y
	A15	C.R. Ronda: Chemical Composition of and Eu ²⁺ Luminescence in the Barium Hexaaluminates, pages 570-573 (Journal of the Electrochemical Society Vol. 136, No. 2 (1989))	Y
	A16	A.L.N. Stevels et al.: Eu ²⁺ Luminescence in Hexagonal Aluminates Containing Large Divalent or Trivalent Cations, pages 691-697 (Journal of the Electrochemical Society, Vol. 123, No. 5 (1976))	Y
	A17	G. Blasse et al.: Fluorescence of Eu ²⁺ -Activated Alkaline-Earth Aluminates, pages 201-206 (Philips Res. Repts 23 (1968))	Y
	A18	G. Blasse et al.: Fluorescence of Eu ²⁺ -Activated Silicates, pages 189-200 (Philips Res. Repts 23 (1968))	Y
	A19	S. Shionoya et al: Phosphor Handbook, pages 168-170, 317-330, 343-349, 389-410, 412-417, 419-431, 554-555, 623-636, 727, 809 (Phosphor Research Society (1998))	Y

Examiner Signature		Date Considered	
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